

Rec'd PCT/PTO 10 FEB 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Dale Du Bois et al.

Application No. **10/521,619**

Filed: **July 10, 2003 (International Filing date)**

For: **THERMAL PROCESSING SYSTEM AND CONFIGURABLE VERTICAL CHAMBER**

Art Unit: ***To be assigned***
Examiner: ***To be assigned***

Docket No.: **A-71748/MSS (463035-770)**

Date: **February 6, 2006**

Mail Stop MISSING PARTS
Attn: Office of Petitions
Director of the U.S. Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450

PETITION UNDER 37 C.F.R. § 1.47(A)
(INVENTOR'S REFUSAL TO JOIN)

Sir:

The following is a petition under 37 C.F.R. § 1.47(a) to accept the enclosed Declaration For Patent Application (“Declaration”), which is missing the signature of a joint inventor. A summary of pertinent facts is set forth below.

Please charge our Deposit Account 50-2319 (Order No. A-71748/MSS (463035-770)) in the amount of \$130.00 to cover the petition fee set forth in 37 C.F.R. § 1.17(h). The Director is authorized to charge any underpayment of fees, including any necessary fees for extension of time, and/or credit any overpayment to Deposit Account No. 50-2319 (Order No. A-71748/MSS (463035-770)).

The last known address of the non-signing joint inventor is:

(2/15/2006 MKAYPAGH 00000056 502319 10521619
(1 FC:1464 130.00 DA

Jeffrey Kowalski
122 Zanzibar Road
Aptos, California 95003-5541

STATEMENT OF FACTS

The undersigned prepared and filed the present application. In the present application and in this petition, the undersigned represents the interests of Aviza Technology, Inc. ("Aviza").

Upon information and belief, the subject matter of the present application was conceived and developed by Dale R. Du Bois, Jamie H. Nam, Craig Wildman, Taiqing Qiu, and Jeffrey R. Kowalski ("inventors"). On July 10, 2003, PCT application No. PCT/US2003/021575 was filed, directed to the subject matter and naming all inventors (the PCT Application). The PCT Application claims priority to U.S. Provisional Patent Application Serial Nos. 60/396,536 filed July 15, 2002, and Serial No. 60/428,526 filed November 22, 2002 (the Priority Applications). On January 14, 2005 a United States National Phase application was filed under 35 U.S.C. 371 (the present application). At the time of filing of the PCT Application and the Priority Applications, the inventors were employed by and obligated to assign the invention to ASML U.S., Inc. ("ASML").

Subsequently on October 10, 2003, ASML and its parent company ASML Holding N.V. entered into an Asset Purchase Agreement whereby all of the assets, including patents and patent applications, of the Thermal Division were sold to Thermal Acquisition Corporation. The patents and patent applications were assigned to Thermal Acquisition Corporation as shown in the attached assignment document in Exhibit A. Thermal Acquisition Corp. then changed its name to Aviza on October 15, 2003. See Exhibit B.

On January 14, 2005 and February 7, 2005, the undersigned sent the Declaration and Assignment to Ms. Morgan Libby for execution by the inventors. Ms. Libby is the Intellectual Property Administrator for the Applicant. Joint inventors Dale R. Du Bois, Craig Wildman, Jamie Nam, and Taiqing Qiu, have executed the Declaration. Their signed Declaration is attached. Inventor Jeffrey Kowalski has not executed the Declaration.

Ms. Libby informed the undersigned that Mr. Kowalski no longer is employed by Aviza. Ms. Libby informed the undersigned that she requested Mr. Kowalski sign the Declaration and Assignment associated with the present application but that Mr. Kowalski never returned her call and did not sign the papers. Ms. Libby then requested in January 2006 that the undersigned attorney's office attempt to reach Mr. Kowalski and obtain his signature.

On January 17, 2006 the undersigned sent the Declaration and Assignment to Mr. Kowalski at his last known address for execution. In the letter, Mr. Kowalski was asked to sign and return the Declaration and Assignment by January 27, 2006. On January 17, 2006 the undersigned also telephoned Mr. Kowalski at his last known telephone number and left a message indicating the nature and urgency of the matter and requesting his execution of the Declaration and Assignment that was sent to him on the same day. I informed Mr. Kowalski of the final due date of February 5, 2006.

On January 23, 2006 the undersigned again telephoned Mr. Kowalski. This time the undersigned reached Mr. Kowalski on the phone. Mr. Kowalski acknowledged receipt of the Declaration and Assignment. I again informed Mr. Kowalski of the final due date of February 5, 2006. Mr. Kowalski said that he would review the documents and get back to me.

On January 25, 2006, the undersigned's secretary, Kari Aguiar, telephoned Mr. Kowalski to inquire regarding the status of the Declaration and Assignment. Mr. Kowalski did not answer the phone, Ms. Aguiar left him a message requesting his signature on the Declaration and Assignment.

Mr. Kowalski did not sign and return the Declaration or Assignment, nor return the phone calls. On January 27, 2006 the undersigned again forwarded to Mr. Kowalski the Declaration and the Assignment via Federal Express to the above-mentioned last known address. In the letter, Mr. Kowalski was asked to sign and return the Declaration and Assignment by January 30, 2006. Mr. Kowalski did not sign and return the Declaration or Assignment. Copies of the letters sent to Mr. Kowalski are attached in Exhibit C.

On February 1, 2006, February 3, 2006 and February 6, 2006, telephone calls were made by Ms. Aguiar to Mr. Kowalski requesting his signature on the Declaration and Assignment. Mr. Kowalski did not sign and return the Declaration or Assignment.

Despite these bona fide attempts to present the Declaration and Assignment to Mr. Kowalski for his execution, Mr. Kowalski has not returned a signed copy of the Declaration or Assignment.

Mr. Kowalski is obligated by agreement to assign his entire interest in the subject matter of the present application to ASML, which sold and assigned the entire interest to Aviza.

CONCLUSION

Applicants respectfully submit that Jeffery Kowalski's conduct constitutes a refusal to join the application and thus Applicants submit this petition under 37 C.F.R. § 1.47(a).

Applicants, that is, joint inventors Dale R. Du Bois, Craig Wildman, Jamie Nam and Taiqing Qiu petition to make this application on behalf of themselves and of the nonsigning, joint inventor Jeffrey Kowalski, who refuses to join in the present application.

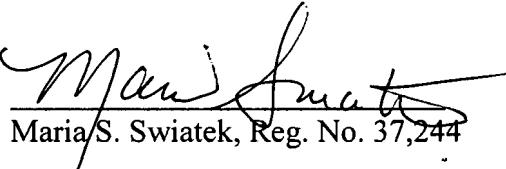
In accordance with M.P.E.P. § 409.03(a)(A)(2), the Declaration is signed by all available joint inventors with the signature blocks of the non-signing inventor left blank. Applicants petition to have the Declaration be treated as having been signed by all the available joint inventors on behalf of the non-signing inventor.

Applicants respectfully submit that a filing date for the present application is necessary to preserve Applicants' rights, and that denial of this petition would result in irreparable damage to Applicants. In particular, the filing date of the present application is necessary to preserve the claimed benefit of the provisional application.

Respectfully submitted,

Date: February 6, 2006

By:



Maria S. Swiatek, Reg. No. 37,244

Customer No. 32940
DORSEY & WHITNEY LLP
555 California Avenue
Suite 1000
San Francisco, CA 94104-1513
Telephone: (415) 781-1989
Facsimile: (415) 398-3249

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

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Mail Stop Petition
 Commissioner for Patents
 P.O. Box 1450
 Alexandria, VA 22313-1450

**STATEMENT OF FACTS BY MARIA SWIATEK TO SUPPORT
PETITION UNDER 37 C.F.R. § 1.47(A)**

Sir:

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Ms. Libby informed me that Mr. Kowalski no longer is employed by Aviza. Ms. Libby informed me that she requested Mr. Kowalski sign the Declaration and Assignment associated with the present application but that Mr. Kowalski never returned her call and did not sign the papers. Ms. Libby then requested in January 2006 that I attempt to reach Mr. Kowalski and obtain his signature.

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RECEIVED

14 MAR 2006

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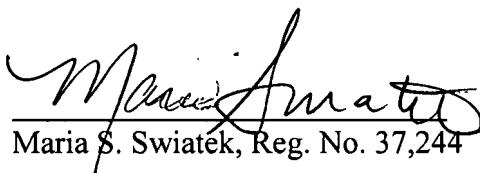
On January 25, 2006, I directed my secretary, Kari Aguiar, to telephone Mr. Kowalski to inquire regarding the status of the Declaration and Assignment. Mr. Kowalski did not answer the phone, Ms. Aguiar left him a message requesting his signature on the Declaration and Assignment.

Mr. Kowalski did not sign and return the Declaration or Assignment, nor return the phone calls. On January 27, 2006 I again forwarded to Mr. Kowalski the Declaration and the Assignment via Federal Express to the above-mentioned last known address. In the letter, Mr. Kowalski was asked to sign and return the Declaration and Assignment by January 30, 2006. Mr. Kowalski did not sign and return the Declaration or Assignment. Copies of the letters sent to Mr. Kowalski are attached in Exhibit C.

On February 1, 2006, February 3, 2006 and February 6, 2006, telephone calls were made by Ms. Aguiar to Mr. Kowalski requesting his signature on the Declaration and Assignment. Mr. Kowalski did not answer, and Ms. Aguiar left messages each time. On February 6, 2006 I again telephoned Mr. Kowalski requesting his signature of the Declaration and Assignment. Mr. Kowalski did not sign and return the Declaration or Assignment. Mr. Kowalski did not return my call.

Despite these efforts, I have not received the Declaration and Assignment executed by
Mr. Kowalski.

Respectfully submitted,

By: 
Maria S. Swiatek, Reg. No. 37,244

Date: February 6, 2006

Customer No. 32940
DORSEY & WHITNEY LLP
555 California Avenue
Suite 1000
San Francisco, CA 94104-1513
Telephone: (415) 781-1989
Facsimile: (415) 398-3249

4842-0433-6384\12/6/2006 3:43 PM

DECLARATION FOR PATENT APPLICATION

As the below named inventor, I hereby declare that:

My residence, post office address and citizenship is as stated below next to my name;

I believe that I am the original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

THERMAL PROCESSING SYSTEM AND CONFIGURABLE VERTICAL CHAMBER

the specification of which: is attached hereto.
 was filed on: July 10, 2003
as Application No.: PCT/US2003/021575
and was amended on: _____
(if applicable).

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56.

Prior Foreign Application(s)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application(s) for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Country	Application Number	Foreign Filing Date (DD/MM/YYYY)	Priority Claimed		Certified Copy Attached	
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Prior Provisional Application(s)

I hereby claim priority under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application Number	Date of Filing (day, month, year)
60/396,536	July 15, 2002
60/428,526	November 22, 2002

Prior United States Application(s)

I hereby claim priority under Title 35, United States Code, §120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Number	Date of Filing (day, month, year)	Status - Patented, Pending, Abandoned

All correspondence and telephone communications should be addressed to Maria S. Swiatek at the address corresponding to Customer Number 32940 currently: DORSEY & WHITNEY LLP, Intellectual Property Department; Four Embarcadero Center, Suite 3400, San Francisco, California 94111-4187; telephone number (650) 494-8700; facsimile number (650) 494-8771.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine and imprisonment, or both, under 18 U.S.C. § 1001, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature

Dale R. DuBois

Date 1/26/2005

Full Name of
First Inventor:

Du Bois Dale R.

(Family Name) (First Given Name) (Second Given Name)

Citizenship:

US Citizen

Residence:

Los Gatos, California

Post Office
Address:

14285 Mulberry Drive
Los Gatos, California 95032

Signature

_____ Date _____

Full Name of

Second Inventor: Nam Jamie H.

(Family Name) (First Given Name) (Second Given Name)

Citizenship:

US Citizen

Residence:

Scotts Valley, California

Post Office
Address:

104 B Saint Augustine Way
Scotts Valley, California 95066

Signature

_____ Date _____

Full Name of
Third Inventor:

Wildman Craig

(Family Name) (First Given Name) (Second Given Name)

Citizenship:

US Citizen

Residence:

Sunnyvale, California

Post Office
Address:

1729 Karameos Drive
Sunnyvale, California 94087

1076472

Signature _____ Date _____

Full Name of
Fourth Inventor: **Qiu** **Taiqing**
(Family Name) (First Given Name) (Second Given Name)
Citizenship: US Citizen
Residence: Los Gatos, California
Post Office
Address: 135 Riviera Drive, Apt. 328
Los Gatos, California 95032

Signature _____ Date _____

Full Name of
Fifth Inventor: **Kowalski** **Jeffrey** **M.**
(Family Name) (First Given Name) (Second Given Name)
Citizenship: US Citizen
Residence: Aptos, California
Post Office
Address: 122 Zanzibar Road
Aptos, California 95003

Signature _____ Date _____

Full Name of
Sixth Inventor: _____
(Family Name) (First Given Name) (Second Given Name)
Citizenship: _____
Residence: _____
Post Office
Address: _____

Attorney Docket No.: A-71748/MSS
 Dorsey & Whitney Docket No. 463035-770
 Serial No.: n/a

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 Page 1 of 4

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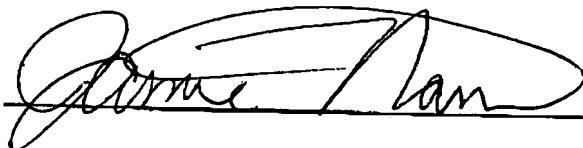
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Page 2 of 4

Attorney Docket No.: A-71748/MSS
 Dorsey & Whitney Docket No. 463035-770
 Serial No.: n/a

Signature _____ Date _____

Full Name of First Inventor:	<u>Du Bois</u> (Family Name)	<u>Dale</u> (First Given Name)	<u>R.</u> (Second Given Name)
Citizenship:	<u>US Citizen</u>		
Residence:	<u>Los Gatos, California</u>		
Post Office Address:	<u>14285 Mulberry Drive</u> <u>Los Gatos, California 95032</u>		



Date 2/6/06

Signature

Full Name of Second Inventor:	<u>Nam</u> (Family Name)	<u>Jamie</u> (First Given Name)	<u>H.</u> (Second Given Name)
Citizenship:	<u>US Citizen</u>		
Residence:	<u>Scotts Valley, California</u>		
Post Office Address:	<u>104 B Saint Augustine Way</u> <u>Scotts Valley, California 95066</u>		

Signature _____ Date _____

Full Name of Third Inventor:	<u>Wildman</u> (Family Name)	<u>Craig</u> (First Given Name)	<u></u> (Second Given Name)
Citizenship:	<u>US Citizen</u>		
Residence:	<u>Sunnyvale, California</u>		
Post Office Address:	<u>1729 Karameos Drive</u> <u>Sunnyvale, California 94087</u>		

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Signature		Date	
Full Name of Fourth Inventor:	<u>Qiu</u> (Family Name)	<u>Taiqing</u> (First Given Name)	
Citizenship:	<u>US Citizen</u>		
Residence:	<u>Los Gatos, California</u>		
Post Office Address:	<u>135 Riviera Drive, Apt. 328</u> <u>Los Gatos, California 95032</u>		

Signature		Date	
Full Name of Fifth Inventor:	<u>Kowalski</u> (Family Name)	<u>Jeffrey</u> (First Given Name)	<u>M.</u> (Second Given Name)
Citizenship:	<u>US Citizen</u>		
Residence:	<u>Aptos, California</u>		
Post Office Address:	<u>122 Zanzibar Road</u> <u>Aptos, California 95003</u>		

Signature		Date	
Full Name of Sixth Inventor:			
Citizenship:			
Residence:			
Post Office Address:			

Dorsey & Whitney LLP
 Intellectual Property Department
 Four Embarcadero Center, Suite 3400
 San Francisco, California 94111-4187
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Signature _____ Date _____

Full Name of First Inventor: Du Bois Dale R.
(Family Name) (First Given Name) (Second Given Name)
Citizenship: US Citizen
Residence: Los Gatos, California
Post Office Address: 14285 Mulberry Drive
Los Gatos, California 95032

Signature _____ Date _____

Full Name of Second Inventor: Nam Jamie H.
(Family Name) (First Given Name) (Second Given Name)
Citizenship: US Citizen
Residence: Scotts Valley, California
Post Office Address: 104 B Saint Augustine Way
Scotts Valley, California 95066

Signature _____ Date 1/27/05

Full Name of Third Inventor: Wildman Craig
(Family Name) (First Given Name) (Second Given Name)
Citizenship: US Citizen
Residence: Sunnyvale, California
Post Office Address: 1729 Karameos Drive
Sunnyvale, California 94087

1076472

Attorney Docket No.: A-71748/MSS
 Dorsey & Whitney Docket No. 463035-770
 Serial No.: n/a

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I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56.

Prior Foreign Application(s)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application(s) for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Country	Application Number	Foreign Filing Date (DD/MM/YYYY)	Priority Claimed	Certified Copy Attached
			Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
			Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
			Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
			Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
			Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>

Attorney Docket No.: A-71748/MSS
 Dorsey & Whitney Docket No. 463035-770
 Serial No.: n/a

Prior Provisional Application(s)

I hereby claim priority under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application Number	Date of Filing (day, month, year)
60/396,536	July 15, 2002
60/428,526	November 22, 2002

Prior United States Application(s)

I hereby claim priority under Title 35, United States Code, §120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Number	Date of Filing (day, month, year)	Status - Patented, Pending, Abandoned

All correspondence and telephone communications should be addressed to Maria S. Swiatek at the address corresponding to Customer Number 32940 currently: DORSEY & WHITNEY LLP, Intellectual Property Department; Four Embarcadero Center, Suite 3400, San Francisco, California 94111-4187; telephone number (650) 494-8700; facsimile number (650) 494-8771.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine and imprisonment, or both, under 18 U.S.C. § 1001, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Attorney Docket No.: A-71748/MSS
Dorsey & Whitney Docket No. 463035-770
Serial No.: n/a

Signature _____ Date _____

Full Name of First Inventor: Du Bois Dale R.
(Family Name) (First Given Name) (Second Given Name)
Citizenship: US Citizen
Residence: Los Gatos, California
Post Office Address: 14285 Mulberry Drive
Los Gatos, California 95032

Signature _____ Date _____

Full Name of Second Inventor: Nam Jamie H.
(Family Name) (First Given Name) (Second Given Name)
Citizenship: US Citizen
Residence: Scotts Valley, California
Post Office Address: 104 B Saint Augustine Way
Scotts Valley, California 95066

Signature _____ Date _____

Full Name of Third Inventor: Wildman Craig
(Family Name) (First Given Name) (Second Given Name)
Citizenship: US Citizen
Residence: Sunnyvale, California
Post Office Address: 1729 Karameos Drive
Sunnyvale, California 94087

1076472

Attorney Docket No.: A-71748/MSS
Dorsey & Whitney Docket No. 463035-770
Serial No.: n/a

Signature

Date

1/20/06

Full Name of
Fourth Inventor:Qiu

(Family Name)

Taiqing

(First Given Name)

Citizenship:

US Citizen

(Second Given Name)

Residence:

Los Gatos, CaliforniaPost Office
Address:135 Riviera Drive, Apt. 328
Los Gatos, California 95032

Signature

Date

Full Name of
Fifth Inventor:Kowalski

(Family Name)

Jeffrey

(First Given Name)

M.

(Second Given Name)

Citizenship:

US Citizen

Residence:

Aptos, CaliforniaPost Office
Address:174 TiburonAptos, California 95003

Signature

Date

Full Name of
Sixth Inventor:

(Family Name)

(First Given Name)

(Second Given Name)

Citizenship:

Residence:

Post Office
Address:

1076472

Dorsey & Whitney LLP
Intellectual Property Department
Four Embarcadero Center, Suite 3400
San Francisco, California 94111-4187
(650) 494-8700 (telephone); (650) 494-8771 (facsimile)

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